



Department of Energy
Germantown, MD 20874-1290

May 20, 2005

MEMORANDUM TO PROGRAM RECORDS OFFICIALS

FROM: SHARON A. EVELIN, DIRECTOR
RECORDS MANAGEMENT DIVISION
OFFICE OF THE ASSOCIATE CIO FOR BUSINESS AND
INFORMATION MANAGEMENT

A handwritten signature in black ink, reading "Sharon A. Evelin", is written over the "FROM:" line of the memorandum.

SUBJECT: Numbered Memo 2005-19:
IG AUDIT FINDINGS AND REQUIRED ACTIONS

Attached is the final IG Audit Report on the Department's Records Management Program. Findings include duplicate electronic records management systems (ERMS), and lack of records management input to planning and design of electronic systems.

Duplicate Legacy and ERMS

As outlined previously in the redesign of the Records Management Program, you are responsible for completing and documenting a Program Assessment of your organization in FY 2006. The Program Assessment follows the Self Assessment process (which should be completed in FY 2005) and shall include Headquarters, Field and contractor sites. The intent of the Program Assessment is to identify and implement cost efficiencies and best practices. In response to findings in the IG Report, duplicate legacy ERMS must be identified as appropriate for consolidation, migration and retirement as part of the Program Assessment. Consolidation of duplicate and legacy ERMS on a site or programmatic basis will help to position the Department for implementation of the Records Management portion of the Enterprise Content Management System (eCMS) (proposed for FY 2008).

Capital Planning and Investment Control (CPIC)

CPIC provides a process to obtain approval and funding from OMB for development of electronic information systems. A business case is documented for each proposed system using an Exhibit 300, *Capital Asset Plan and Business Case* (as defined by OMB Circular A-11). Agencies have been directed by OMB and NARA to include Records Management in the CPIC process to ensure electronic records are managed according to legal and regulatory requirements. The process and checklist to be used by the Department are attached and have been presented for information purposes to the IT Council.



Headquarters Records Liaisons and Records Management Field Officers are responsible for completing the checklist for each new system proposed by their organization on an OMB Exhibit 300. They can use the checklist to coordinate with their Information Technology point of contact to ensure Records Management is part of any new system design or is addressed in an alternative manner. You are responsible for reviewing and approving the checklists, ensuring records have been adequately addressed, and subsequently forwarding the checklist to the Records Management Division, IM-11. The approved checklists will be reviewed against the Exhibit 300s and any issues will be resolved by the OCIO CPIC/Exhibit 300 Review Team and the organizational point of contact for the proposed system. You may be required to participate in the resolution process.

In the next few weeks, this Office will begin the first Records Management reviews of the Exhibit 300's. Since you have not yet had an opportunity to provide input to the systems being proposed, we will coordinate with you directly to prepare the checklists and ensure Records Management requirements are addressed. Questions may be directed to me at 301-903-3455 (Sharon.Evelin@hq.doe.gov) or to Lorretta Bryant at 301-903-2164 (Lorretta.Bryant@hq.doe.gov).

Attachments

cc: Headquarters Records Liaisons
Records Management Field Officers
IT Council Members (For Information Only)

RECORDS MANAGEMENT CPIC PROCESS

Roles

Program Organizations

- Shall establish an internal process to include the Program Records Official (PRO) and the Records Liaison Officer (RLO) (for HQ) and/or Records Management Field Officer (RMFO) (for Field Sites) in systems development and Exhibit 300 preparation/approval.
 - The RLO/RMFO shall:
 - Identify records implications for proposed system(s) using the Records Management Checklist for CPIC Proposals to ensure all records issues are addressed.
 - If the system is identified as an Electronic Records Management System (ERMS), conduct an in-depth review to:
 - Ensure all requirements of the DOE-STD-4001-2000, “Design Criteria Standard for Electronic Records Management Software Applications” are met;
 - Ensure compatibility with other “corporate” system(s) for potential records migration;
 - Ensure adequacy of records disposition schedules to meet needs of the system;
 - If system is not identified as an ERMS, conduct a review to determine whether:
 - Records are created and maintained by the system.
 - The information is available elsewhere.
 - If information is not available elsewhere, the system must add record functionality, migrate records to an approved ERMS or content management system (CMS), or print records and maintain them in hardcopy (as an interim solution).
 - Complete and sign the Checklist and forward it and a copy of the draft Exhibit 300 (if available) to the PRO for approval.
 - The PRO shall:
 - Review the Checklist to ensure the proposed system has addressed all relevant aspects of Records Management.
 - Before signing the Checklist, the PRO will also do a cursory review of the draft Exhibit 300 (if available) to ensure Records Management issues are addressed.
 - If information is missing, the Checklist shall be returned to the RLO/RMFO for further action.
 - When the Checklist is complete, the PRO shall sign and forward a copy to (1) the organization’s system point of contact/originator of the Exhibit 300; and (2) the Office of the CIO, Attn: Records Management Division (IM-11).

OCIO

- A Records Management representative shall be identified to participate on the OCIO's "Exhibit 300" Review Team.
- The Records Management representative shall receive copies of all Exhibit 300 forms. The CIO Records Management point of contact shall:
 - Review the Checklist and the Exhibit 300 (or draft) to ensure records, if created by the system, have been addressed properly.
 - Ensure the PRO has approved the Checklist.
 - Ensure that records will be created, maintained and dispositioned in accordance with schedules and regulations.
 - If questions remain or additional work is required, the Checklist shall be returned to the PRO for further action, and a copy with comments provided to IM-20.
 - If paperwork is complete, the CIO Records Management representative shall sign the Checklist and forward it, and any comments regarding the system or proposed changes, to the PRO and the OCIO reviewing officials in IM-20 for action.
 - The PRO and the Records Management Division (IM-11) shall maintain a copy of the Checklist (w/approvals), the Exhibit 300 (or draft) and any comments provided regarding the system.
- Reviewing officials in IM-20 shall work with the Exhibit 300 originator and IT points of contact to ensure Records Management requirements are incorporated as appropriate.
 - Questions or concerns shall be addressed to the PRO or the Departmental Records Officer.

Actions Required to Implement

Departmental Elements:

1. The RLO/RMFO must become involved in IT system development/approval.
2. PRO/RLO/RMFO must become familiar with the purpose/content of the Checklist.
3. The PRO must take responsibility for the records management aspects of his/her organization's e-systems.

CIO: (Actions are complete)

1. Develop a CPIC Records Management process/checklist and coordinate with IM-20.
2. Brief the IT Council for informational purposes.
3. Ensure Records Management officials are made aware of the process and checklist by
 - a) announcing the requirements by memorandum to the PROs; and
 - b) posting process/checklist on the Records Management webpage.

**RECORDS MANAGEMENT CHECKLIST FOR
CAPITAL PLANNING AND INVESTMENT CONTROL PROPOSALS**

Program Records Official:
Phone Number:

Organization/Routing Symbol:

Proposed System Title:

System Point of Contact:
Phone Number:

I. SYSTEM FUNCTION

1. *Succinctly* describe the *primary* purpose of the proposed system.
(Use additional sheet if required.)

2. Proposed system supports: (include citations)

YES NO

Regulatory or
Congressional Requirement
National Security
Program Mission
Management/Administration
Other, specify:

3. Is the proposed system an upgrade or enhancement
to an existing system?
(If yes, identify the system and describe how
the records are managed/dispositioned.)
(Use additional sheet if required.)

4. Identify types of information to be created or maintained
by the proposed system:

Classified?
Unclassified?
Official Use Only?
Privacy Act?
Quality Assurance?
Vital Records?
Permanent Records?
Other, specify:

5. Will the proposed system include information:

Creation?
Organization?
Access Limitations?
Version control?
Retrieval?
Record Metadata?

Long-term preservation?
Migrated from another system?
Not available elsewhere? (Specify)

II. ELECTRONIC RECORDS MANAGEMENT

YES

NO

5. Does the proposed system declare data/documents to be “records”?
7. Is the proposed system an Electronic Records Management System that identifies records and applies disposition schedules?
(If yes, specify software used.)
8. Does the system software meet DOE-STD-4001-2000, “Design Criteria for Electronic Records Management Software Applications”?
9. Will documents/records be migrated to a separate system that meets DOE-STD-4001-2000? (If yes, specify records cutoff instructions and software application to be used.)
10. If records management is not part of the proposed system, will it be included in a future phase? (Specify, including FY)
11. If records management is not performed electronically, how will system data/records be managed?

(Note: If the answers to Questions 6, 8 and 9 are “no”, skip to Question 18. If you answered “yes” to any of these Questions, please complete all Sections of the checklist.)

III. DISPOSITION

(Please indicate whether the answers in this Section apply to Questions 6 _____, 8 _____, or Question 9 _____.) (Check all that apply.)

YES

NO

12. Will the system include application of disposition schedules?
13. Will the system automatically identify records for destruction when retention periods have been met?
14. Will the system enable time and/or event disposition?
15. Will the system allow for entry of event and auto calculation of destruction date?

16. Will confirmation be required before destruction takes place?
Describe method to be used. (Attach sheet if required.)
17. Will the system be able to make provision for destruction moratoria when records have met their retention periods?
Describe method to be used. (Attach sheet if required.)
18. Have disposition authorities been identified for all records that will be created or managed by the system?
(If not, attach a draft SF-115 worksheet.)

IV. AUTHENTICITY AND ACCESSIBILITY

YES NO

19. Will the system meet requirements for:
Legal admissibility, rules of evidence and
Integrity/authenticity of the record; including:

System Documentation/Metadata?
Record Metadata?
Security appropriate to Record level?
Unalterable?
Version-specific?
User/editor restrictions?

20. Will the system use technology neutral format?

XML
PDF
ASCII
Specify:

21. How will software and metadata to support retrieval be retained for the life of the record?

SIGNATURES:

DATE:

Records Management Field Officer (For Field-originated systems) and Phone Number:

Records Liaison Officer (For HQ-originated systems) and Phone Number:

Program Records Official:

Departmental Records Officer:
